Honeywell Ref. No.: H0004729.86489 - 4780

Buchalter Docket No.: H9931-6105

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Joseph Kennedy, et al.

Application Serial No. 10/567,420

Filed: **April 4, 2007** 

For: Coating Composition Optimization

for Via Fill and Photolithography Applications and Methods of Preparation

Thereof

Examiner: Stanetta D. Isaac

Art Unit: 2812

## REQUEST FOR REFUND (37 C.F.R. § 1.26)

COMMISSIONER OF PATENTS P.O. BOX 1450 ALEXANDRIA, VA 22313-1450

Dear Sir:

Attached are copies of the Information Disclosure Statements and Fee Transmittals filed on August 13, 2009, October 12, 2009 and November 10, 2009 in connection with the above referenced application. Also attached are copies of the EFS Acknowledgment Receipts and Fee Transmittals from the USPTO for each of the IDS filings.

This request for refund is made within two years of the dates the fees were paid in this application on the dates referenced above, in the amount of \$180.00 for each IDS, totaling \$540.00. Applicant believes that the fees should not have been paid because each of the IDS filings was made in compliance with 37 CFR 1.56, 37 CFR 1.97 and 37 CFR 1.98, specifically, the IDS filings were made prior to the mailing of a first Office Action on the merits or within three months from the date applicants became aware of prior art cited in a foreign search report in a counterpart application.

Given the Certification Statements for each IDS, no fees should have been charged, although fees were authorized. The fees were authorized in order to ensure that if the office deemed a fee necessary, one could be charged with a minimal lapse of prosecution time.

Honeywell Ref. No.: H0004729.86489 - 4780

Buchalter Docket No.: H9931-6105

Applicant hereby requests a refund of the fees in the amount of \$540.00. Please make refund by crediting Deposit Account No. 500977.

Respectfully submitted,

Buchalter Nemer, A Professional Corporation

1/20/3000

By: Sandra P. Thompson, PhD, Esq.

Reg. No. 46,264

Direct Line: 949-224-6282

ATTORNEYS FOR APPLICANT(S): 18400 Von Karman Ave., Suite 800 Irvine, CA 92612-0514

PTO/SB/08a (07-09)
Approved for use through 07/31/2012. OMB 0651-0031
Ormation Disclosure Statement (IDS) Filed
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Doc code: IDS

Doc description: Information Disclosure Statement (IDS) Filed

	Application Number		10567420		
	Filing Date		2007-04-04		
INFORMATION DISCLOSURE	First Named Inventor Joseph		eph Kennedy		
STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99)	Art Unit		2812		
	Examiner Name Unkn		nown		
	Attorney Docket Numb	er	H0004729.86489 USA -4780		

				*****	U.S.	PATENTS				
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue D	)ate	of cited Document		Pages,Columns,Lines where Relevant Passages or Releva Figures Appear		
	1	63992269	B1	2002-06	i-04	Fuji Photo Film Co., Ltd.				
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			U.S.P	ATENT	APPLI	CATION PUB	LICATIONS			
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Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup> i	/	Kind Code⁴	Publication Date  Name of Patente Applicant of cite Document		e or	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T5
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( Not for submission under 37 CFR 1.99)

Application Number		10567420			
Filing Date		2007-04-04			
First Named Inventor Joseph Kennedy					
Art Unit		2812			
Examiner Name	Unknown				
Attorney Docket Numb	er	H0004729.86489 USA -4780			

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			EXAMINER SIGNATURE		
Examiner	Examiner Signature Date Considered				
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Clandard O1.	ument b	y the a	D Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>2</sup> Enter office that issued the document nese patent documents, the indication of the year of the reign of the Emperor must precede the serippropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Application is attached.	al aumhar af the east of the	

( Not for submission under 37 CFR 1.99)

Application Number		10567420				
Filing Date		2007-04-04				
First Named Inventor	Josep	h Kennedy				
Art Unit		2812				
Examiner Name	Unkno	own				
Attorney Docket Numb	er	H0004729.86489 USA -4780				

	CERTIFICATION STATEMENT									
Ple	ase see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):									
$\boxtimes$	That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).									
OF										
	That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).									
	See attached certification statement.									
$\boxtimes$	Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.									
	None									
_	SIGNATURE									
A si orm	gnature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the of the signature.									
Sign	ature Date (YYYY-MM-DD) 200185									
Vam	e/Print Sandra P. Thompson Registration Number 46,264									

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** 

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For FY 2009			First Named Inventor Joseph Kennedy			1		
				Examiner Name	·····	Unknow	'n	
Applicant claims small er	ntity status.	See 37 CFR 1.2	7	Art Unit		2812		
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METHOD OF PAYMENT	(check all	that apply)				······································		
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FEE CALCULATION								
1. BASIC FILING, SEARC			FEES					
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Application Type	Fee (\$)	Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee		e (\$)	Fees Paid (\$)
Utility	330	165	540	270	22	0 1	10	
Design	220	110	100	50	14	0	70	American
Plant	220	110	330	165	17	0	85	****
Reissue	330	165	540	270	650	0 3	25	
Provisional	220	110	0	0		0	0	
2. EXCESS CLAIM FEES Fee Description	i						Fee (\$)	Small Entity Fee (\$)
Each claim over 20 (inc	cluding Re	eissues)				,	52	26
Each independent claim	n over 3 (i		es)				220	110
Multiple dependent clai							390	195
<u>Total Claims</u> <u>E</u> - 20 or HP =	xtra Claim	<u>s Fee (\$)</u> x	<u>Fee</u>	Paid (\$)			iumpie u Fee (\$)	ependent Claims Fee Paid (\$)
HP = highest number of total cla	aims paid for						1 00 (4)	1 CD 1 CHI (4)
	xtra Claim		<u>Fee</u>	Paid (\$)		<del></del>		
- 3 or HP = HP = highest number of indeper	ndent claims	x paid for, if greater the	an 3.					
3. APPLICATION SIZE FE If the specification and di	:F			er (excluding e	lectror	nically fil	ed seque	ence or computer
listings under 37 CFR	(1.52(e)),	the application	size fee	due is \$270 (\$	135 fo	r small e	ntity) for	r each additional 50
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4. OTHER FEE(S) Non-English Specificat	tion \$13	- 30 fee (no small	entity o	liscount)				Fees Paid (\$)
Other (e.g., late filing s	•		-					180.00
		¥7 —						
SUBMITTED BY	<del>////</del>	Marra W		Registration No.			Talk-	
Signature ###	Me	<u> </u>		Attorney/Agent) 4	6,264	,	L	ne 949-224-6282
Name (Print/Type) Sandra P. Th	nompson	V					Date (	10/21/09

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Electronic Patent	<b>Application</b>	Fee	Transmi	ttal		
Application Number:	10567420					
Filing Date:	04-Apr-2007					
Title of Invention:	Coating Composition Optimization for Via Fill and Photolithography Applications and Methods of Preparation Thereof					
First Named Inventor/Applicant Name:	Joseph Kennedy					
Filer:	Sandra Poteat Th	nompsor	)			
Attorney Docket Number:	H0004729USA-47	780				
Filed as Large Entity				**************************************		
U.S. National Stage under 35 USC 371 Filing I	Fees				,	
Description	Fee Cod	le	Quantity	Amount	Sub-Total in USD(\$)	
Basic Filing:		<u> </u>	L		L.,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	
Pages:					***************************************	
Claims:						
Miscellaneous-Filing:			1			
Petition:						
Patent-Appeals-and-interference:						
Post-Allowance-and-Post-Issuance:						
Extension-of-Time:						

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Miscellaneous:				
Submission- Information Disclosure Stmt	1806	1	180	180
	Tot	al in USD (	\$)	180

Electronic A	Electronic Acknowledgement Receipt						
EFS ID:	5883002						
Application Number:	10567420						
International Application Number:							
Confirmation Number:	9127						
Title of Invention:	Coating Composition Optimization for Via Fill and Photolithography Applications and Methods of Preparation Thereof						
First Named Inventor/Applicant Name:	Joseph Kennedy						
Customer Number:	00128						
Filer:	Sandra Poteat Thompson						
Filer Authorized By:							
Attorney Docket Number:	H0004729USA-4780						
Receipt Date:	13-AUG-2009						
Filing Date:	04-APR-2007						
Time Stamp:	14:29:36						
Application Type:	U.S. National Stage under 35 USC 371						

## **Payment information:**

yes
Deposit Account
\$180
613
500977

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

Charge any Additional Fees required under 37 C.F.R. 1.492 (National application filing, search, and examination fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.19 (Document supply fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 37 C.F.R. Section 1.21 (Marge any Additional Fees required under 1.21 (Marge any A	Miscellaneous fees and charges)
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)	
1		H99316105IDS.pdf	140781	yes	4	
		11993 10103125.pa1	6de31ac109189394fb4533e26c3d59c4799 1ab64	,		
	Multip	art Description/PDF files i	n .zip description			
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	Information Disclosure Statem	2 4		4		
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2	Fee Worksheet (PTO-875)	fee-info.pdf		no	2
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### New Applications Under 35 U.S.C. 111

Image File Wrapper and may affect subsequent processing

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

#### National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

### New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

Doc code: IDS

Doc description: Information Disclosure Statement (IDS) Filed

PTO/SB/08a (07-09)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		10567420	
	Filing Date		2007-04-04	
	First Named Inventor Josep		oh Kennedy	
	Art Unit		2812	
	Examiner Name	Unkne	own	
	Attorney Docket Numb	er	H0004729.86489 USA -4780	

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Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup> i	,	Kind Code <sup>4</sup>	Publication Date	Name of Patentee Applicant of cited Document	or	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	<b>T</b> 5
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( Not for submission under 37 CFR 1.99)

Application Number		10567420		
Filing Date		2007-04-04		
First Named Inventor Josep		h Kennedy		
Art Unit		2812		
Examiner Name Unkno		iown		
Attorney Docket Numb	er	H0004729.86489 USA -4780		

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Examiner Signature Date Considered						
		eference considered, whether or not citation is in conformance with MPEP 609. mance and not considered. Include copy of this form with next communication	<u>-</u>			
Standard ST.3). 3 F	or Japa by the a	D Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>2</sup> Enter office that issued the documentness patent documents, the indication of the year of the reign of the Emperor must precede the sempropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Application is attached.	ial number of the patent docu	ument.		

(Not for submission under 37 CFR 1.99)

Application Number		10567420		
Filing Date		2007-04-04		
First Named Inventor	Jo <b>s</b> ep	h Kennedy		
Art Unit		2812		
Examiner Name Unknown		own		
Attorney Docket Number		H0004729.86489 USA -4780		

	CERTIFICATION STATEMENT							
Plea	ase see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):							
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OR	OR							
	That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).							
	See attached certification statement.							
$\boxtimes$	Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.							
	None							
form	signature of the applicant or representative is required in accordance with CFR 1.33, 10.18. Please see CFR 1.4(d) for the most the signature.  Date (YYYY-MM-DD)							
	ne/Print Sandra P. Thompson Registration Number 46,264							
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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** 

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Under the Paperwork Reduction	on Act of 1995	no persons are requ	uired to re	spond to a collection	in of Inform	ation unless it display	s a valid OMB control number	
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Fees pursuant to the Consolida				Application Number 10/567,420				
FEE TR	AN2	MIIIA	<b>\</b> L	Filing Date	/	April 4, 2007		
For	FY 20	009		First Named In	ventor .	loseph Kennedy		
		0 07.050.4.0		Examiner Name	e (	Jnknown		
Applicant claims small	entity status.	See 37 CFR 1.2	2.7	Art Unit	12	2812		
TOTAL AMOUNT OF PAYN	AENT (\$)	180.00		Attorney Docke	t No.	10004729.86489	USA -4780	
METHOD OF PAYMENT	(check all	that apply)						
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Charge any ac	ditional fee(	s) or underpayme	nts of fe	e(s) Credi	tanv ove	payments	,	
warning: information on this form may become public. Credit card information should not be included on this form. Provide credit card								
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FEE CALCULATION			····			-		
1. BASIC FILING, SEAR								
	FILING F	EES mail Entity	SEAR	CH FEES Small Entity	EXAM	NATION FEES Small Entity		
Application Type	Fee (\$)	Fee (\$)	Fee (\$		Fee (		Fees Paid (\$)	
Utility	330	165	540	270	220	110		
Design	220	110	100	50	140	70	***************************************	
Plant	220	110	330	165	170	85		
Reissue	330	165	540	270	650	325		
Provisional	220	110	0	0	0	0		
2. EXCESS CLAIM FEE	S					Enn (\$)	Small Entity	
Fee Description Each claim over 20 (in	ncluding Re	rissnes)				<u>Fee (<b>\$</b>)</u> 52	<u>Fee (\$)</u> 26	
Each independent clair			ies)			220	110	
Multiple dependent cla		Ü	,			390	195	
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3. APPLICATION SIZE F If the specification and of	FE	_		ar (avoludina a	lactronic	vally filed segmen	nce or computer	
listings under 37 CF.								
sheets or fraction the	reof. See 3	35 U.S.C. 41(a)	(1)(G) a	ind 37 CFR 1.1	6(s).	•		
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4. OTHER FEE(S)		/ 30 =		(100110 ap to a r	mole nam		F D. (4/8)	
Non-English Specifica	Non-English Specification, \$130 fee (no small entity discount)							
Other (e.g., late filing	surcharge):	Information Disc	losure S	tatement			180.00	
SUBMITTED BY	d.	Y V X	Λ.					
Signature	WIA	MININA	<b>11</b>	Registration No.	6.264	Telephon	₹94 <del>0</del> -224-6882∕	
Name (Print/Type) Sandra P. T	homoson	~ / / / / / / / / / / / / / / / / / / /	K. I	Attomey/Agent) 41	-,	Date (	' <del>) 7  ¥1</del>	
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This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Electronic Patent Application Fee Transmittal									
Application Number:	10567420								
Filing Date:	04	-Apr-2007							
Title of Invention:	Coating Composition Optimization for Via Fill and Photolithography Applications and Methods of Preparation Thereof								
First Named Inventor/Applicant Name:	Joseph Kennedy								
Filer:	Sandra Poteat Thompson/Collene Houston								
Attorney Docket Number:	Но	004729USA-4780							
Filed as Large Entity									
U.S. National Stage under 35 USC 371 Filing	Fee:	•							
Description		Fee Code	Quantity	Amount	Sub-Total in USD(\$)				
Basic Filing:					11				
Pages:									
Claims:									
Miscellaneous-Filing:				*****	7.000				
Petition:									
Patent-Appeals-and-Interference:									
Post-Allowance-and-Post-Issuance:									
Extension-of-Time:									

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Miscellaneous:				
Submission- Information Disclosure Stmt	1806	1	180	.180
	Tot	180		

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Electronic Acl	Electronic Acknowledgement Receipt				
EFS ID:	6243101				
Application Number:	10567420				
International Application Number:					
Confirmation Number:	9127				
Title of Invention:	Coating Composition Optimization for Via Fill and Photolithography Applications and Methods of Preparation Thereof				
First Named Inventor/Applicant Name:	Joseph Kennedy				
Customer Number:	00128				
Filer:	Sandra Poteat Thompson/Collene Houston				
Filer Authorized By:	Sandra Poteat Thompson				
Attorney Docket Number:	H0004729USA-4780				
Receipt Date:	12-OCT-2009				
Filing Date:	04-APR-2007				
Time Stamp:	13:26:54				
Application Type:	U.S. National Stage under 35 USC 371				

## **Payment information:**

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$180
RAM confirmation Number	8647
Deposit Account	500977
Authorized User	

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File Listing:					
Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.
				yes	4
1		6105IDS.pdf	6d114a0df2ff12b6eb4708673991efb17d10 9686	yes	7
	Multip	art Description/PDF files in .	zip description		
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	Fee Worksheet (	PTO-875)	1		1
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### New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

#### National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

### New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.

Doc code: IDS

Doc description: Information Disclosure Statement (IDS) Filed

PTO/SB/08a (07-09)

Approved for use through 07/31/2012. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		10567420	
	Filing Date		2007-04-04	
	First Named Inventor Josep		eph Kennedy	
	Art Unit		2812	
	Examiner Name Unknown		nown	
	Attorney Docket Numb	er	H0004729.86489 USA -4780	

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Examine Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue	Date	Name of Patentee or Applicant of cited Document		Pages,Columns,Lines wh Relevant Passages or Re Figures Appear		re evant
	1	6605362	B2	B2 2003-08-12 Honeywell International Inc.		Honeywell International Inc.				
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						CATION PUE				
Examine Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Date of cited Document		Name of Patentee or Applicant		Relev	s,Columns,Lines wher vant Passages or Rele es Appear	
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If you wis	h to a	dd additional U.S. Publ	ished Ap	plication	n citatio	n information	please click the Add	butto	n.	
	T			FOREI	GN PAT	ENT DOCUM	MENTS			
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup> i		Kind Code4	Publication Date	Name of Patentee Applicant of cited Document	OI	Pages,Columns,Lines where Relevant Passages or Relevant Figures Appear	T6
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( Not for submission under 37 CFR 1.99)

Application Number		10567420		
Filing Date		2007-04-04		
First Named Inventor	Joseph Kennedy			
Art Unit		2812		
Examiner Name	Unknown			
Attorney Docket Number	er	H0004729.86489 USA -4780		

1			
If you wish to add	additional non-patent literature	document citation information please click the Add b	putton
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Examiner Signatu	ire	Date Considered	
*EXAMINER: Initicitation if not in co	al if reference considered, wheth onformance and not considered.	ner or not citation is in conformance with MPEP 609. Include copy of this form with next communication t	Draw line through a to applicant.
Statitualu S1.3). * For	Japanese patent documents, the indicat the appropriate symbols as indicated on	<u>O.GOV</u> or MPEP 901.04. <sup>2</sup> Enter office that issued the documen tion of the year of the reign of the Emperor must precede the series the document under WIPO Standard ST.16 if possible. <sup>5</sup> Application	al number of the national discussions

( Not for submission under 37 CFR 1.99)

Application Number	****	10567420	
Filing Date		2007-04-04	
First Named Inventor	Joseph Kennedy		
Art Unit	<u> </u>	2812	
Examiner Name	Unknown		
Attorney Docket Number		H0004729.86489 USA -4780	

	CERTIFICATION STATEMENT							
	lease see 37 CFR 1.97 and 1.98 to make							
	That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).							
	)R							
	That no item of information contained foreign patent office in a counterpart after making reasonable inquiry, no ite any individual designated in 37 CFR statement. See 37 CFR 1.97(e)(2).	m of information con	to the knowledge of t	he person signing the certification				
	See attached certification statement.							
	Fee set forth in 37 CFR 1.17 (p) has be	en submitted herewitl	h					
	None							
-	signature of the applicant or representative of the signature.	SIGNA:	dance with CFR 1.33, 10.1					
-	me/Print Sandra P. Thompson	MUMIL	Date (YYYY-MM-DD)	2009-11-10				
	- Tompson		Registration Number	46,264				
1. ar re	s collection of information is required by 33 lic which is to file (and by the USPTO to p J. This collection is estimated to take 1 ho lication form to the USPTO. Time will vary lire to complete this form and/or suggestion and Trademark Office, U.S. Department	our to complete, included the depending upon the one for reducing this beauting this beauting this beauting this beauting the dependence of the dependence o	ding gathering, preparing a individual case. Any com	ned by 35 U.S.C. 122 and 37 CFR and submitting the completed				

Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria,** 

PTO/SB/17 (10-08)

Approved for use through 06/30/2010. OMB 0651-0032 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995 no persons are required to respond to a collection of information unless it displays a valid OMB control number Effective on 12/08/2004. Complete if Known pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818). Application Number 10/567,420 FEE TRANSMIT Filing Date April 4, 2007 For FY 2009 First Named Inventor Joseph Kennedy Applicant claims small entity status. See 37 CFR 1.27 **Examiner Name** Unknown Art Unit 2812 TOTAL AMOUNT OF PAYMENT 180.00 Attorney Docket No. H0004729.86489 USA -4780 METHOD OF PAYMENT (check all that apply) Check Credit Card JMoney Order None Other (please identify): ✓ Deposit Account Deposit Account Number: 500977 Deposit Account Name: Buchalter Nemer For the above-identified deposit account, the Director is hereby authorized to: (check all that apply) ✓ Charge fee(s) indicated below Charge fee(s) indicated below, except for the filing fee Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 Credit any overpayments WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card **FEE CALCULATION** 1. BASIC FILING, SEARCH, AND EXAMINATION FEES FILING FEES SEARCH FEES EXAMINATION FEES Small Entity **Small Entity Application Type** Small Entity Fee (\$) Fee (\$) Fee (\$) Fee (\$) Fee (\$) Fees Paid (\$) Fee (\$) Utility 330 165 270 220 110 Design 110 100 50 140 70 Plant 220 110 330 165 170 85 Reissue 330 165 540 270 650 325 Provisional 220 110 0 0 2. EXCESS CLAIM FEES Fee Description **Small Entity** Fee (\$) Each claim over 20 (including Reissues) Fee (\$) 52 26 Each independent claim over 3 (including Reissues) 220 110 Multiple dependent claims 390 195 **Total Claims** Extra Claims Fee Paid (\$) Multiple Dependent Claims - 20 or HP = Fee (\$) HP = highest number of total claims paid for, if greater than 20. Fee Paid (\$) Indep. Claims Extra Claims Fee (\$) Fee Paid (\$) - 3 or HP = HP = highest number of independent claims paid for, if greater than 3. 3. APPLICATION SIZE FEE If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$270 (\$135 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s). Total Sheets Extra Sheets Number of each additional 50 or fraction thereof Fee (\$) Fee Paid (\$) / 50 = (round up to a whole number) x 4. OTHER FEE(S) Non-English Specification, \$130 fee (no small entity discount) Fees Paid (\$) Other (e.g., late filing surcharge): Information Disclosure Statement 180.00 SUBMITTED BY Registration No. (Attorney/Agent) 46,264 Signature Telephone <sub>949-</sub>224-6282 Name (Print/Type Sandra P. Thompson Date November 10, 2009

This collection of Information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete. use to to process) an application. Community is governed by 55 0.3.C. 122 and 57 of 15 1.14. This collection is estimated to take 55 minutes including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Electronic Patent Application Fee Transmittal							
Application Number:	10	0567420					
Filing Date:	04-Apr-2007						
Title of Invention:	Coating Composition Optimization for Via Fill and Photolithography Applications and Methods of Preparation Thereof						
First Named Inventor/Applicant Name:	Jos	eph Kennedy					
Filer:	Sai	ndra Poteat Thomp	son/Collene Ho	uston			
Attorney Docket Number:	НО	004729USA-4780					
Filed as Large Entity							
U.S. National Stage under 35 USC 371 Filing	Fee	\$					
Description		Fee Code	Quantity	Amount	Sub-Total in USD(\$)		
Basic Filing:							
Pages:	·····			,			
Claims:							
Miscellaneous-Filing:							
Petition:							
Patent-Appeals-and-Interference:							
Post-Allowance-and-Post-Issuance:							
Extension-of-Time:	·····•						

Description	Fee Code	Quantity	Amount	Sub-Total in USD(\$)
Miscellaneous:				
Submission- Information Disclosure Stmt	1806	1	180	180
	Tot	al in USD (	\$)	180

Electronic Acknowledgement Receipt				
EFS ID:	6429907			
Application Number:	10567420			
International Application Number:				
Confirmation Number:	9127			
Title of Invention:	Coating Composition Optimization for Via Fill and Photolithography Applications and Methods of Preparation Thereof			
First Named Inventor/Applicant Name:	Joseph Kennedy			
Customer Number:	00128			
Filer:	Sandra Poteat Thompson/Collene Houston			
Filer Authorized By:	Sandra Poteat Thompson			
Attorney Docket Number:	H0004729USA-4780			
Receipt Date:	10-NOV-2009			
Filing Date:	04-APR-2007			
Time Stamp:	18:48:53			
Application Type:	U.S. National Stage under 35 USC 371			

### **Payment information:**

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$180
RAM confirmation Number	5014
Deposit Account	500977
Authorized User	

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Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

File Listing:					
Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Page (if app
1		IDS10567420.pdf	130052	yes	4
		·	ef69f439Ze19f202ණde66330 <del>e</del> d4e09e2b1e e7bc		
	Mult	ipart Description/PDF files ir	.zip description		
	Document Description		Start	End	
	Fee Workshee	Fee Worksheet (PTO-875)		1	
	Information Disclosure Statement (IDS) Filed (SB/08)		2	4	
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The page size in the mage File Wrapper nformation:  2  Warnings: nformation:	Foreign Reference	WO2003044078A1.pdf	8367738 8d816d02cd30e652780d18259fc8ce20b82 b009a 30293 c89f257c6bbc59a56addf4ec73b749dcb7d	no	174

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### New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

### National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

### New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.